

## **Dept. of Financial Institutions - FY18 Agency IT Plan**

### **OVERALL AGENCY IT PLAN GUIDELINES:**

- I. Top Five IT Goals – Identify your agency's top five goals/objectives for utilizing information technology in FY18, and how they serve your agency's business needs. This response can be a high-level, one-page summary.

#### **Refresh Enterprise Technology**

At present, the DFI has 11 business critical systems to replace or decommission within the next 2-year execution cycle. The agency's portfolio assessment registers these systems as being within the "Migrate" quadrant, which indicates low technical quality applications with high business value. These 11 systems run either on the agency's Windows 2012 web application stack or on the client operating system, which is currently leveraging Windows 7. Two critical efforts planned are to upgrade our desktop operating system to Windows 10 and our web application servers to Windows 2016. The 11 systems scheduled for replacement will not run, cost effectively, on these new operating systems once these core infrastructure upgrades are complete.

One of the IT Bureau's goals is to replace as many of these systems as possible and only rewrite the line of business systems that we absolutely need to develop in-house. These replacement projects will give the bureau important experience in acquiring software; the goal is to acquire either commercial off the shelf (COTS) or software as a service (SaaS) solutions. Developing our "Buy vs. Build" decision making acumen will need to be a core competency we grow over the coming years.

Supporting initiatives, projects and efforts include:

- AIS Replacement - Banking Unification
- UCC Replacement
- Securities Replacement Platform Project (Phoenix)
- CRIS Client Replacement

#### **Achieve Operational Improvements**

Realization of operationally focused improvements will be one of the bureau's overarching goals for the next several years. Upgrading operational capabilities in a few key areas will be the source of many of these improvements. The key areas currently lacking capabilities include disaster recovery, high availability, enterprise performance and application security, there are several efforts planned to address these areas and are covered under other IT Goals.

The other main source for operational improvements will be in the area of reducing the number of hours bureau staff devotes to operational and manual tasks. We have been slowly incurring additional operational costs for the last several years; currently nearly half IT resources go towards operational efforts such as help desk, data updates, web content updates, network, server administration, quality assurance and maintenance of our existing applications. The bureau has a goal of significantly reducing the cost of operations, and thus enabling resources to work towards more value-oriented efforts.

Supporting initiatives, projects and efforts include:

- Data Updates Elimination
- Web Site Revitalization Effort (Content Management System)
- Continued Additions to our Automated Regression Testing Suite

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### **Solidify Strategic Partnerships (DFI Shared Services Initiative)**

The next several years will see the IT Bureau embracing its place within the state's enterprise; we will leverage not just the Division of Enterprise Technology, but also other agency's experience and expertise. Bureau staff will seek out opportunities to get onboard, appropriately, with statewide projects earlier in the life cycle than we have in the past. The largest of these opportunities, of course, is the STAR project; the bureau will continue to make efforts towards understanding the overall STAR implementation roadmap and ensure the agency produces as much value as possible from this new platform. Being part of enterprise-wide and statewide initiatives will benefit the agency and allow the IT bureau to focus on core competencies, such as implementing our line of business solutions and targeting our business partner's unique needs.

Over the last calendar year, DFI migrated the majority of its server hardware (hosts) from its 201 W Washington Avenue server room to the Femrite Data Center. The DFI has also begun working with the DOA/DET to migrate all virtual servers to DET hosted hardware and, where apt, use the Milwaukee Data Center as a disaster recovery site. Along with partnering with DOA/DET, the DFI has plans to leverage cloud-based providers, using the DOA/DET as a broker, this will enable the agency to move away from managing and maintaining server hardware altogether.

Along with building up our server disaster recovery stance, the DFI is also starting to implement Virtual Desktop Infrastructure (VDI) and providing more business users with laptops and remote work capabilities. Among the goals of this effort is the ability to enable workforce continuity in case of a disaster. Eventually, the DFI will consume DET's service offering in this area.

Supporting initiatives, projects and efforts include:

- Active Directory Migration to DET
- Server Migration to Femrite Data Center
- Virtual Desktop Infrastructure Maturation
- Financial Literacy Content Hosting Project

### **Ongoing Enterprise Security Efforts**

As an agency, the DFI's mission is to ensure the safety and soundness of Wisconsin financial institutions, protecting the investing public, and enhancing the viability and accessibility of the state's business record-keeping system. The IT Bureau continually supports the agency's mission by investing in enterprise security initiatives to protect our data and computer systems. Last year, an Enterprise Security Team was established, this year more maturity will be applied to the team and associated processes.

Supporting initiatives, projects and efforts include:

- Enterprise Security Team Maturation
- Automated Security Scanning
- Identification and Creation of Agency-level and Bureau-level Policy, Process and Procedure

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### IT Process Maturity

The IT bureau has experienced difficulty providing innovative solutions for our business partners due to not having foundational capabilities to build upon. The bureau is dedicated to building up IT processes and methodologies to ensure that we live up to our end of the partnership we have developed with our business areas. Improvements will be realized in all of our interactions with the agency's divisions, both in the context of overall business engagement and while tactically delivering value. Several process-oriented areas will be built up, providing decision makers data needed to prioritize and plan IT projects and resources.

Supporting initiatives, projects and efforts include:

- Continued Definition and Maturity of our Solution Delivery Life Cycle (SDLC)
- Creation of an Enterprise Platform Match framework to assist staff with build vs. buy and platforming decisions
- IT Request Catalog and Management
- Bug Tracking System Implementation
- Feature Request System Implementation
- Development of Project-based Reports, Dashboards and Metrics
- Creation of a Business Engagement Framework
- Implementation of Help Desk Satisfaction Surveys

- II. Agency Projects – List all of your agency's IT projects expected to cost \$1 million or more. (\$1 million is the statutory threshold for reporting to the Legislature on IT projects, e.g., Wisconsin s.16.973(16), stats.) This includes projects that are starting, ongoing or ending anytime between July 1, 2017 and June 30, 2018. Include all types of IT projects (not just application development). You also can include IT projects expected to cost less than \$1 million that your agency views as high-visibility and/or particularly critical to serving business needs.

For each project listed for Item II, complete the table on page 4 of these instructions.

*None of the agency's current projects is expected to cost \$1 million or more.*

- III. Potential Agency Projects – List all potential FY18 agency IT projects that could meet the \$1 million-or-more cost threshold. These are potential projects that are in the conceptual phase, or that might be initiated in FY18 due to potential legislative changes (state or federal), or that might be dependent on securing grant funding (from a state, federal or nongovernmental organization). Note: The difference between projects listed in Item II above and Item III is that projects in Item II are currently active or scheduled projects, and Item III is for projects that are only in the conceptual or planning phases.

Provide just the following basic information for each potential project in the following table format.

Potential Project Name:
Description:
Anticipated Total Cost:
Resourcing:

*Project Name: Full name of the project (not acronyms).*

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*Project Description: A few sentences providing a high-level overview of the potential project. Include the business problem being addressed.*

*Anticipated Total Cost: Same definition as 8a described on page 3.*

*Resourcing: Anticipated funding source(s).*

*None of the agency's potential projects is expected to cost \$1 million or more.*

- IV. IT Infrastructure Projects or Expenditures – Describe any projects or anticipated expenditures over \$100,000 related to augmenting IT infrastructure (e.g., hardware, servers, storage, networking components, security, backup and disaster recovery), if these projects have not already been described in sections II or III above. Use the same abbreviated format as in section III.

- V. Please describe your agency's plans to participate in the Active Directory Migration project. A high-level paragraph or two is sufficient, but please include an expected approximate timeline for your participation in the Active Directory Migration project.

*DFI will migrate its users and computers from the DFI Active Directory domain to the DET Active Directory domain and de-provision the DFI domain. This effort is part of DFI's shared services initiative, and will improve the reliability of DFI IT services and allow greater interoperability with DET on other shared services, such as Office 365 and SharePoint*

- VI. Please describe the efforts your agency plans to either complete or initiate in FY18 to enhance the agency's cybersecurity position. (This response **should be** high-level in nature; **please do not** indicate detailed technical strategies or names of products being used.)

- *Enterprise Security Team Maturation*
- *Automated Security Scanning*
- *Identification and Creation of Agency-level and Bureau-level Policy, Process and Procedure*

- VII. Please indicate the status of progress toward completion of the agency portfolio assessment.

☐ Not Started

☐ In Progress / Estimated Completion Date:

☒ Completed (please send a copy with your IT Plan submission)

- VIII. Additional Issues/Activities (OPTIONAL) – Identify and explain issues or other activities not described already that are influencing, or could influence, successful execution of your agency's IT plan and about which DOA/DET should be aware.

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### **DETAILED COMPLETION DIRECTIONS FOR LISTED PROJECTS IN ITEM II (One table completed per project):**

- 1) Project Name: Full name of the project (not acronyms only).
- 2) Project Type: Check box designation of new FY18 project or continued from FY17 (ongoing).
- 3) Project Description: A few sentences providing a high-level overview of the project. Include the business problem being addressed.
- 4) Project Schedule: Start and completion dates, or expected start and completion dates if the project has not been initiated yet.
- 5) Application Platform: Check all that apply.
- 6) Application Type: Check all that apply.
- 7) Technical Architecture Components: Please provide information about the application and technical infrastructure components (e.g., Java Application Code Base using Oracle RDBMS, WebSphere, and Business Objects).
- 8) Estimated Total Project Hours: Report the project's total estimated staff hours, including business, technical and contractor staff. If the project analysis has not been completed yet, please supply an estimate of total project hours.
- 8a) Estimated Total Project Cost: Report the project's total estimated cost, including all direct and staff costs (business, technical and contractor staff). If the project analysis has not been completed yet, please supply an estimate of total project cost.
- 9) Related Projects and Dependencies: Report any related projects, including a description of the relationship and dependencies between the projects.
- 10) Identify project sponsors and all sources of funding and the amount: GPR – General Purpose Revenue; PR – Program Revenue; SEG – Segregated funds; FED – Federal funding. The funding sources should add up to the estimated total project cost cited in 8a.
- 11) Issues that may influence successful execution of the project. Please explain.

NOTE: If your agency adds projects during FY18 that meet the \$1 million-or-more cost threshold, and these projects were not originally included in the annual plan due March 31, 2017, please provide an update to DET as soon as possible (and minimally on a quarterly basis). IT plan updates can be sent to the DOA Agency IT Plans mailbox on the global address list ([DOAAgencyITPlans@wisconsin.gov](mailto:DOAAgencyITPlans@wisconsin.gov)). Please include the same information in the table format for those additional projects.

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1) Project Name:			
2) Project Type: <input type="checkbox"/> New FY18 <input type="checkbox"/> Ongoing			
3) Project Description:			
4) Project Schedule	Start:	Expected Completion:	
5) Application Platform:	<input type="checkbox"/> Mainframe	<input type="checkbox"/> Web	<input type="checkbox"/> Client-Server
	<input type="checkbox"/> Physical	<input type="checkbox"/> Virtual	
6) Application Type:	<input type="checkbox"/> In-house Developed	<input type="checkbox"/> COTS	<input type="checkbox"/> SaaS
	<input type="checkbox"/> Vendor Managed/hosted	<input type="checkbox"/> Other (specify)	
7) Technical Architecture Components:			
8) Estimated Total Project Hours:		8a.) Estimated Total Project Cost:	
9) Related Projects and Dependencies:			
10) Project Sponsorship and Funding <i>(please complete the information below)</i>			
Executive Sponsor:		Division:	
Business Sponsor:		Division:	
Senior Project Manager:		IT Authority:	
Is Full Funding for Project Approved/Secured?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Funding Source for the Project:		<input type="checkbox"/> GPR \$ _____ <input type="checkbox"/> PR \$ _____ <input type="checkbox"/> SEG \$ _____ <input type="checkbox"/> FED \$ _____	
11) Issues that may influence successful execution of the project:			

### **Table Function Tips**

#### **1. How to Check Boxes**

Double click on the checkbox to display the **Check Box Form Field Options** dialog box. Click on **Checked** and click OK to close the dialog box.

#### **2. Copying Tables** In order to enter more than one agency project, you will want to make additional copies of the project table in the template document.

- Place the cursor in the table.
- From the menu ribbon in Word 2010, select **Table Tools, Layout, Select, Select Table** to highlight the entire table.
- From the menu ribbon, select **Home, Copy**.
- Move the cursor to the spot in the document where you want to place the table. From the menu bar, select **Home, Paste** to paste the table.
- When doing this copy, you will notice that the numbers in the table cells will continue in sequence from the previous table. In order to restart the numbering for the new table, focus the cursor in the *Project Name* cell and right click to display a menu. Select **Numbering, Set Numbering Value, Set value to 1, OK**. Your copied table should now be numbered starting at 1 again.